



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 10/771,331 Confirmation No. : 2561
First Named Inventor : Orlaw MASSLER
Filed : February 5, 2004
TC/A.U. : 1762
Examiner : K. Stouffer
Docket No. : 080313.48830D1
Customer No. : 23911
Title : Dlc Coating System and Process and Apparatus for
Making Coating System

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §§ 1.97 AND 1.98**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, the attached Form PTO-1449 lists documents which the Examiner may deem relevant to patentability of the claims of the above-identified application.

I. Time Period of Submission

This Information Disclosure Statement is submitted:

☒ 1) no later than three months from the application's filing date or 2) before the mailing date of the first Office Action on the merits (whichever is later) or 3) before a first Office Action after the filing of a Request for Continued Examination, and therefore no statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

☐ 2) after the later of three months from the application's filing date and the mailing date of the first Office Action on the merits, but before a Final Office Action, a Notice of Allowance, or an action closing prosecution (*Ex parte Quayle*), (whichever is earlier), and therefore Applicant is filing concurrently herewith:

☐ a Statement under 37 C.F.R. § 1.97(e); or

☐ a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

☐ 3) after either a Final Office Action or a Notice of Allowance, but before payment of the Issue Fee, and therefore Applicant is submitting herewith:

a Statement under 37 C.F.R. § 1.97(e); and

a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

II. Statement Under 37 C.F.R. § 1.97(e)

☐ I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or

☐ I hereby state that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making a reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement; or

III. Statement under 37 C.F.R. § 1.704(d)

☐ I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

IV. Submission of Non-English Language Documents

☒ The following is a concise explanation of relevance of the non-English language documents listed in the attached Form PTO-1449:

☐ The relevance of document(s) _____ to the subject matter of the present invention is/are provided in the specification of the above-identified application.

☐ Corresponding foreign or international report(s) citing document(s) _____, together with an English-language version(s) (if not already in English) of that portion of the report(s) indicating the degree of relevance found by the foreign office(s) is/are submitted.

☒ English language family member publications of documents B1-B2, B9, B13, B16-B19, and B23 are noted on Form PTO-1449.

☒ English language abstracts are submitted for documents B3-B8, B12-B17, and B19-B22.

☐ English translation(s) of the foreign language document(s) _____ is/are submitted herewith.

☐ Applicant submits the following explanations:

V. Continuations/Divisionals

☐ Documents _____ were of record in parent application Serial No. _____, filed _____, from which this application claims benefit. As provided in 37 C.F.R. §1.98(d), copies of the documents are not being provided since they were previously submitted to or cited by the United States Patent and Trademark Office in the afore-mentioned parent application.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

If necessary, this paper should be considered as an authorization to charge Deposit Account 05-1323, Attorney Docket No.: 080313.48830D1, for the fee set forth in 37 C.F.R. § 1.17(p).

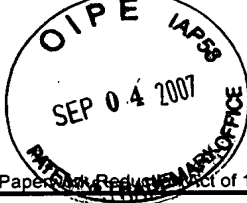
September 4, 2007

Respectfully submitted,



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PTO/SB/08a (09-06)

Approved for use through 03/31/2007. OMB 0651-0031
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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Complete if Known	
		Application Number	10/771,331
		Filing Date	February 5, 2004
		First Named Inventor	Orlaw MASSLER
		Art Unit	1762
Sheet 1 of 3	Examiner Name	K. Stouffer	
		Attorney Docket Number	080313.48830D1

U.S. PATENT DOCUMENTS						
Examin er Initials'	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)				
	A1	US- 5,942,317	A	08-24-1999	Richard Longstreth White	
	A2	US- 5,688,557	A	11-18-1997	Jerome H. Lemelson et al.	
	A3	US- 4,749,587		06-07-1988	Erich Bergmann	
	A4	US- 5,626,922	A	05-06-1997	Akiharu Miyanaga et al.	
	A5	US- 5,562,982	A	10-08-1996	Tatsuya Hiwatashi	
	A6	US- 5,523,121	A	06-04-1996	Thomas R. Anthony et al.	
	A7	US- 5,411, 797	A	05-02-1995	Farzin Davanloo et al.	
	A8	US- 5,237,967	A	08-24-1993	Pierre A. Willermet et al.	
	A9	US- 5,147,687	A	09-15-1992	Diwakar Garg et al.	
	A10	US- 5,013,579		05-07-1991	Shunpei Yamazaki	
	A11	US- 4,877,677		10-31-1989	Kumiko Hirochi et al.	
	A12	US- 4,996,079		02-26-1991	Kenji Itoh	
	A13	US- 4,919,974		04-24-1990	Robert C. McCune et al.	
	A14	US- 4,486,286		12-04-1984	Gerhard Lewin et al.	
	A15	US- 4,749,587		06-07-1988	Erich Bergmann et al.	
	A16	US- 4,698,256		10-06-1987	Robert D. Giglia et al.	
	A17	US- 5,707,748	A	01-13-1998	Erich Bergmann	
	A18	US- 5,637,373	A	06-10-1997	Shigenori Hayashi	
	A19	US- 5,709,784	A	01-20-1998	Hans Braendle et al.	
	A20	US- 5,626,963	A	05-06-1997	Hitoshi Hirano et al.	
	A21	US- 5,306,408	A	04-26-1994	James R. Treglio	
	A22	US- 5,768,046	A	06-16-1998	Kwang-Ryeol Lee et al.	
	A23	US- 5,695,565	A	12-09-1997	Kwang-Ryeol Lee et al.	
	A24	US- 5,938,838	A	08-17-1999	Kwang-Ryeol Lee et al.	
	A25	US- 4,731,302		03-15-1988	Christian Weissmantel et al.	
	A26	US- 6,066,399	A	05-23-2000	Hitoshi Hirano et al.	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Complete if Known		
			Application Number	10/771,331	
			Filing Date	February 5, 2004	
			First Named Inventor	Orlaw MASSLER	
			Art Unit	1762	
			Examiner Name	K. Stouffer	
Sheet	2	of	3	Attorney Docket Number	080313.48830D1

FOREIGN PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
	B1	DE 296 15 190 U1	01-16-1997	Balzers Verschleisschutz GmbH	Corresponds to A19 above	
	B2	EP 0 886 880 B1	12-30-1998	Unaxis Balzers Aktiengesellschaft	Corresponds to A19 above	
	B3	BE 1006711 A3	11-22-1994	Vito		ABS
	B4	DE 693 03 148 T2	01-23-1997	Vito		ABS
	B5	JP 7041386 A	02-10-1995	Sanyo Electric Co., Ltd.		ABS
	B6	JP 07062539 A	03-07-1995	Sanyo Electric Co., Ltd.		ABS
	B7	JP 03025743 A	02-04-1991	Matsushita Electric Ind. Co., Ltd.		ABS
	B8	JP 07070756 A	03-14-1995	Sanyo Electric Co., Ltd.		ABS
	B9	DE 44 23 184 A1	01-12-1995	Sanyo Electric Co., Ltd.	Corresponds to A20 above	
	B10	CA 2,013,282	10-28-1990	Digital Equipment Corporation et al.		
	B11	EP 0 395 198 A2	10-31-1990	Digital Equipment Corporation et al.		
	B12	JP 3-131509 A	06-05-1991	Digital Equipment Corporation et al.		ABS
	B13	JP 6-88215 A	03-29-1994	ISM Technol Inc.	Corresponds to A21 above	ABS
	B14	EP 0 394 661 A1	10-31-1990	Balzers Aktiengesellschaft		ABS
	B15	JP 2-285072 A	11-22-1990	Balzers Hochvakuum		ABS
	B16	JP 8-63840 A	03-08-1996	Korea Inst. of Science Technology	Corresponds to A21 above	ABS

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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